



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/015,319	12/12/2001	W. Scott Thielman	NV 2914-AC-C1

00028104
JONES, DAY, REAVIS AND POGUE
35TH FLOOR
77 WEST WACKER
CHICAGO, IL 60601-1692



RECEIVED

JUN 18 2002

OFFICE OF PETITIONS

CONFIRMATION NO. 4291

FORMALITIES LETTER



06000000007274960

Date Mailed: 01/07/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/13/2002 BSAYASI1 00000047 10015319

01 FC:117	920.00 OP
02 FC:105	130.00 OP
03 FC:122	130.00 OP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: W. Scott Thielman and Robert M. Pricone

Serial No.: 10/015,319

Filed: December 12, 2001

For: A Process and Apparatus for Embossing Precise Microstructures and Embossing Tool for Making Same

Confirmation No.:4291

COMPLETION OF FILING REQUIREMENTS

Commissioner of Patents and Trademarks
Washington, D.C. 20231

ATTENTION: Application Division

(check and complete this item, if applicable)

- I. ☒ This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed January 7, 2002.
- ☒ A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

DECLARATION OR OATH

- II. ☒ No declaration or oath was filed. Enclosed is a petition under 37 C.F.R. § 1.47(b) requesting the filing of the above application on behalf of the two co-inventors who refuse to sign the declaration for this application.

OR

- ☐ The declaration or oath which was filed was determined to be defective. A new original oath or declaration is attached.

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

I hereby certify that this correspondence is, on the date shown below, being:

MAILING
FACSIMILE

☒ deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 C.F.R. § 1.10 on the date indicated below and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231
Date: June 7, 2002

☐ transmitted by facsimile to the Patent and Trademark Office

Signature

Express Mail Mailing Label No. ET684376347US

Patricia Ann Merrill
(type or print name of person certifying)

(complete (c) or (d), if applicable)

Attached is a

- (c) ☒ A Statement by a registered attorney that the application filed in the PTO is the application which the inventors would have executed by signing the declaration.
- (d) ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.

AMENDMENT CANCELLING CLAIMS

- III. ☐ Cancel claims _____ inclusive.

TRANSMITTAL OF ENGLISH TRANSLATION OF NON-ENGLISH LANGUAGE PAPERS

- IV. ☐ Submitted herewith is a verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the PTO.

SMALL ENTITY STATUS

- V. Applicant claims small entity status

- ☐ A verified statement that this filing is by a small entity

(check and complete applicable items)

- ☐ is attached
 - ☐ A separate refund request accompanies this paper.
- ☐ was filed on _____ (original)

COMPLETION FEES

VI.

WARNING: Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 CFR 1.53(d).

1. Filing fee
 - ☐ original patent application (37 CFR 1.16(a)—\$730.00;
small entity—\$365.00 \$ ____
 - ☐ design application (37 CFR 1.16(f)—\$300.00;
small entity—\$150.00 \$ ____
 - \$ ____
2. Fees for claims
 - ☐ each independent claim in excess of 3 (37 CFR 1.16(b)—
\$76.00; small entity—\$38.00) \$ ____
 - ☐ each claim in excess of 20 (37 CFR 1.16(c)—\$22.00;
small entity—\$11.00) \$
 - ☐ multiple independent claim(s) (37 CFR 1.16(d)—\$240.00;
small entity—\$120.00) \$
 - \$ ____
3. Surcharge fees
 - ☐ late payment of filing fee
 - and/or
 - ☒ late filing of original declaration or oath
37 CFR 1.16(e)—\$130.00; small entity—\$65.00); \$130.00
4. ☒ Petition and fee for filing by other than all
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or a person not the inventor
(37 CFR 1.17(h) and 1.47—\$130.00) \$130.00
5. ☐ Fee for processing an application filed with a
specification in a non-English language
(37 CFR 1.17(k) and 1.52(d)—\$130.00) \$
6. ☐ Fee for processing and retention of application
(37 CFR 1.21(l) and 1.53(d)—\$300.00) \$ ____
7. ☐ Assignment (See "ASSIGNMENT COVER SHEET".) \$

Total completion fees \$260.00

EXTENSION OF TIME

VII.

(complete (a) or (b as applicable)

The proceedings herein are for a patent application and the provisions of 37 CFR 1.136(a) apply.

- (a) ☒ Applicant petitions for an extension of time, the fees for which are set out in 37 CFR 1.17(a)-(d) for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 400.00	\$ 200.00
<input checked="" type="checkbox"/> three months	\$ 920.00	\$ 460.00
<input type="checkbox"/> four months	\$1,440.00	\$ 720.00

Fee \$ 920.00

If an additional extension of time is required please consider this a petition therefor.

(check and complete the next item, if applicable)

- ☐ An extension for _____ months has already been secured and the fee paid therefor of \$_____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ _____

or

- (b) ☐ Applicant believes that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

TOTAL FEE DUE

VIII.

The total fee due is

Completion fee(s)	\$260.00
Extension fee (if any)	\$920.00

TOTAL FEE DUE \$1,180.00

PAYMENT OF FEES

IX.

- ☒ Enclosed is a check in the amount of \$ 1,180.00
- ☐ Charge Account No. _____ in the amount of \$ _____
A duplicate of this request is attached.

AUTHORIZATION TO CHARGE ADDITIONAL FEES

X.

WARNING: *Accurately count claims, especially multiple dependant claims, to avoid unexpected high charges if extra claims are authorized.*

- ☒ The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper and during the pendency of this application to Account No. 10-1202_
- ☒ 37 CFR 1.16(a), (f) or (g) (filing fees)
- ☒ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)
- ☒ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☒ 37 CFR 1.17 (application processing fees)

WARNING: *While 37 CFR 1.17(a), (b), (c) and (d) deal with extensions of time under § 1.136(a) this authorization should be made only with the knowledge that: "Submission of the appropriate extension fee under 37 CFR 1.1367(a) is to no avail unless a request or petition for extension is filed." (Emphasis added). Notice of November 5, 1985 (1060 O.G. 27).*

- ☐ 37 CFR 1.18 (issue fee at or before mailing Notice of Allowance, pursuant to 37 CFR 1.311(b))

Respectfully submitted,

Joseph H. Golant, Reg. No. 24,210
Attorney for Applicant

Tel. No.: (312) 269-1534

Jones, Day, Reavis & Pogue
Suite 3500
77 West Wacker Drive
Chicago, Illinois 60601-1692



06-10-02

DAC ✓ MP#

Attorney's Docket No.013013026179

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: W. Scott Thielman and Robert M. Pricone

Serial No.: 10/015,319

Filed: December 12, 2001

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Patent and Trademark Office

Patricia Ann Merrill
Signature

06/13/2002 BSAYAS11 00000047 10015319

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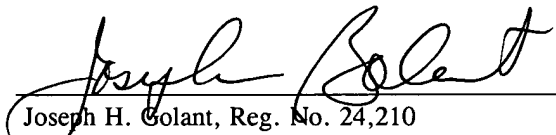
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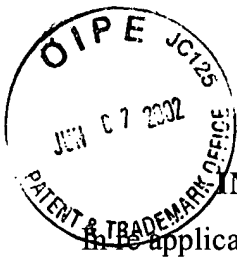
Respectfully submitted,



Joseph H. Golant, Reg. No. 24,210
Attorney for Applicant

Tel. No.: (312) 269-1534

Jones, Day, Reavis & Pogue
Suite 3500
77 West Wacker Drive
Chicago, Illinois 60601-1692



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: W. Scott THIELMAN and)
Robert M. PRICONE)
Serial No.: 10/015,319)
Filed: December 12, 2001)
For: A Process and Apparatus for)
Embossing Precise Microstructures)
and Embossing Tool for Making)
Same)
Group Art Unit: 1732)

Attorney Docket:
013013-026179

RECEIVED
JUN 1 8 2002
OFFICE OF PETITIONS

**STATEMENTS OF FACTS IN SUPPORT OF FILING ON BEHALF OF
NONSIGNING INVENTORS (37 C.F.R. § 1.47)**

These statements are made as to the exact facts that are relied upon to establish the diligent effort made to secure the execution of the declaration by the nonsigning Inventors for the above-identified patent application in the United States Patent and Trademark Office.

Because signing on behalf of the nonsigning inventors is by a person or entity showing a sufficient proprietary interest, these statements also recite facts as to why this action was necessary to preserve the rights of the parties or to prevent irreparable damage.

These statements are being made by the available persons having first-hand knowledge of the facts recited therein.